



IAPD Report

Rakesh Ravani

CRD# 5405842

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

Rakesh Ravani (CRD# 5405842)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **04/02/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	J.P. MORGAN SECURITIES LLC	CRD# 79	06/07/2024
B	J.P. MORGAN SECURITIES LLC	CRD# 79	07/08/2024

QUALIFICATIONS

This representative is currently registered in **26** SRO(s) and 6 jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	EDELMAN FINANCIAL ENGINES	104510	MOKENA, IL	08/31/2020 - 04/26/2024
IA	E*TRADE CAPITAL MANAGEMENT, LLC	42159	Chicago, IL	09/13/2018 - 09/16/2020
B	E*TRADE SECURITIES LLC	29106	CHICAGO, IL	09/13/2018 - 09/16/2020

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

No



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **6** jurisdiction(s) and 26 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **J.P. MORGAN SECURITIES LLC**
Main Address: 383 MADISON AVE
NEW YORK, NY 10179
Firm ID#: 79

	Regulator	Registration	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	07/08/2024
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	07/08/2024
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	07/08/2024
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	07/08/2024
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	07/08/2024
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	07/08/2024
B	Cboe Exchange, Inc.	General Securities Representative	Approved	07/08/2024
B	FINRA	General Securities Representative	Approved	07/08/2024
B	Investors' Exchange LLC	General Securities Representative	Approved	07/08/2024
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	07/08/2024
B	MEMX LLC	General Securities Representative	Approved	07/08/2024
B	MIAX Emerald, LLC	General Securities Representative	Approved	07/08/2024
B	MIAX PEARL, LLC	General Securities Representative	Approved	07/08/2024



Qualifications

	Regulator	Registration	Status	Date
B	MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	07/08/2024
B	NYSE American LLC	General Securities Representative	Approved	07/08/2024
B	NYSE Arca, Inc.	General Securities Representative	Approved	07/08/2024
B	NYSE National, Inc.	General Securities Representative	Approved	07/08/2024
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/08/2024
B	Nasdaq BX, Inc.	General Securities Representative	Approved	07/08/2024
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	07/08/2024
B	Nasdaq ISE, LLC	General Securities Representative	Approved	07/08/2024
B	Nasdaq MRX, LLC	General Securities Representative	Approved	07/08/2024
B	Nasdaq PHLX LLC	General Securities Representative	Approved	07/08/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	07/08/2024
B	New York Stock Exchange	General Securities Representative	Approved	07/08/2024
B	California	Agent	Approved	03/03/2025
B	Connecticut	Agent	Approved	01/07/2025
IA	Illinois	Investment Adviser Representative	Approved	06/07/2024
B	Illinois	Agent	Approved	09/18/2024
B	Indiana	Agent	Approved	12/16/2024



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	12/09/2024
B Washington	Agent	Approved	04/02/2025

Branch Office Locations

J.P. MORGAN SECURITIES LLC
10 S Dearborn St. 12th Floor
Chicago, IL 60603

J.P. MORGAN SECURITIES LLC
10 SOUTH DEARBORN
CHICAGO, IL 60603

J.P. MORGAN SECURITIES LLC
30 S. WACKER DRIVE
CHICAGO, IL 60606



Qualifications



PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination (S7TO)	Series 7TO	07/08/2024
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	05/01/2017

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	09/18/2024
IA B Uniform Combined State Law Examination (S66)	Series 66	06/07/2017



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	08/31/2020 - 04/26/2024	EDELMAN FINANCIAL ENGINES	CRD# 104510	MOKENA, IL
IA	09/13/2018 - 09/16/2020	E*TRADE CAPITAL MANAGEMENT, LLC	CRD# 42159	Chicago, IL
B	09/13/2018 - 09/16/2020	E*TRADE SECURITIES LLC	CRD# 29106	CHICAGO, IL
IA	06/07/2017 - 09/10/2018	MORGAN STANLEY	CRD# 149777	CHICAGO, IL
B	05/01/2017 - 09/10/2018	MORGAN STANLEY	CRD# 149777	CHICAGO, IL
B	08/05/2010 - 12/18/2014	BRIGHT TRADING, LLC	CRD# 34702	HENDERSON, NV

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2024 - Present	J.P. Morgan Securities LLC	Private Client Advisor Licensing	Y	Chicago, IL, United States
05/2024 - Present	JPMorgan Chase Bank, N.A.	Private Client Advisor Licensing	Y	Chicago, IL, United States
08/2020 - 04/2024	Edelman Financial Engines	Registered Rep	Y	Santa Clara, CA, United States
09/2018 - 08/2020	E*TRADE Financial Corp	Financial Consultant	Y	CHICAGO, IL, United States
09/2018 - 08/2020	E*Trade Securities LLC	Registered Rep	Y	Chicago, IL, United States
09/2018 - 08/2020	Harris Direct	Registered Rep	Y	Chicago, IL, United States
03/2017 - 09/2018	MORGAN STANLEY	Registered Rep	Y	Chicago, IL, United States
12/2014 - 05/2017	RAKESH RAVANI	Owner	N	Chicago, IL, United States
10/2015 - 04/2016	H&R Block	Tax Preparer	N	Chicago, IL, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

the name of the other business; Rakesh Ravani

whether the business is investment-related; No

the address of the other business; 210 S Desplaines St Unit 901 Chicago IL

the nature of the other business; Rental property

your position; Owner

title, or relationship with the other business; Owner

the start date of your relationship; March 2024

the approximate number of hours/month you devote to the other business; 0

the number of hours you devote to the other business during securities trading hours; 0

and briefly describe your duties relating to the other business; Owner of property



End of Report

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